

Attorney Docket No.: 9116-552

**CERTIFICATE OF EXPRESS MAIL**

"Express Mail" mailing label number: EL343343045US

Date of Deposit: March 29, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D. C. 20231.

Catherine Vigil  
Catherine Vigil

#4 PATENT  
IDS  
10/13/01

jc903 U.S. PTO  
09/820504  
03/29/01

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

Applicant: Bakes et al. :  
Serial No.: To be assigned : Group Art Unit: To be assigned  
Filed: Herewith : Examiner: To be assigned  
For: **METHOD AND SYSTEM FOR OPTIMIZING PRODUCT INVENTORY LEVELS**

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98 Applicant herewith submits certain references which the Patent & Trademark Office may wish to consider in examining the above-identified application. The references are listed on the attached Form PTO-1449.

Copies of the listed references are also provided. No representation is made or intended that a prior art search has been made or that no better art than that listed is available.

Please charge any fees required, or credit any overpayment, to Deposit Account No. 04-1133.

Respectfully submitted,

By John V. Harmeyer  
John V. Harmeyer  
Registration No. 41,815  
Attorney for Applicant(s)  
DINSMORE & SHOHL LLP  
1900 Chemed Center  
255 East Fifth Street

## PTO FORM 4/92

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS

FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET: 9116-552

SERIAL NO.: To be Assigned

APPLICANT(S): Bakes et al.

FILING DATE: Herewith

GROUP: To be assigned

Jc903 U.S. PTO  
09/820504  
03/29/01

FOR: METHOD AND SYSTEM FOR OPTIMIZING PRODUCT INVENTORY LEVELS

PAGE 1 OF PAGE 1

Exam Init.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	4 8 8 7 2 0 7	12/12/89	Natarajan		
	5 1 2 8 8 6 1	07/07/92	Kagami et al.		
	5 2 3 7 4 9 6	08/17/93	Kagami et al.		
	5 2 8 7 2 6 7	02/15/94	Jayaraman et al.		
	5 5 9 6 4 9 3	01/21/97	Tone et al.		
	5 6 0 8 6 2 1	03/04/97	Caveney et al.		
	5 7 6 5 1 4 3	06/09/98	Sheldon et al.		
	5 7 8 9 7 3 2	08/04/98	McMahon et al.		
	5 8 1 9 2 3 2	10/06/98	Shipman		
	5 8 9 7 6 2 4	04/27/99	Ramaswamy		
	5 9 3 0 7 6 2	07/27/99	Masch		
	5 9 4 6 6 6 2	08/31/99	Ettl et al.		

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS

## OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

	Wheeler, Donald J., Chambers, David S., <i>Understanding Statistical Process Control</i> , Second Edition, SPC Press, © 1992, Chapters 1-5.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

657085

## PTO FORM 4/92

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS

FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET: 9116-552

SERIAL NO.: To be Assigned

APPLICANT(S): Bakes et al.

FILING DATE: Herewith

GROUP: To be assigned

FOR: METHOD AND SYSTEM FOR OPTIMIZING PRODUCT INVENTORY LEVELS

PAGE 2 OF PAGE 2

Exam Init.		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS
		5	9	5	3	7	0	7	09/14/99	Huang et al.		
		5	9	6	3	9	1	9	10/05/99	Brinkley et al.		
		6	0	0	6	1	9	6	12/21/99	Feigin et al.		
		6	0	0	6	2	0	2	12/21/99	Ramaswamy et al.		
		6	0	2	1	3	9	6	02/01/00	Ramaswamy et al.		
		6	0	3	2	1	2	5	02/29/00	Ando		
		6	0	7	8	9	0	0	06/20/00	Ettl et al.		
		6	1	4	4	9	4	5	11/07/00	Garg et al.		
		6	1	5	1	5	8	2	11/21/00	Huang et al.		

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS

## OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

657098